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PTO/SB/05 (1/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 0756-2064

First Inventor or Application Identifier: Shunpei YAMAZAKI et al.

Title: SEMICONDUCTOR DEVICE AND METHOD FOR FORMING THE SAME

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification Total Pages [40]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) Total Sheets [7]
4. ☒ Oath or Declaration Total Pages [2]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
(Note Box 5 below)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement ☐ Copies of IDS
(IDS)/PTO-1449 Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ *Small Entity ☐ Statement filed in prior application,
Statement(s) Status still proper and desired
(PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Notice of Change of Address

*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Divisional of prior application Serial No. 08/721,526 filed September 26, 1996; which itself is a Continuation of Application Serial No. 08/111,522 filed August 25, 1993, abandoned.

Prior application information: Examiner: M. Whipple

Group/Art Unit: 2813

18. CORRESPONDENCE ADDRESS

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or ☐ Correspondence address below

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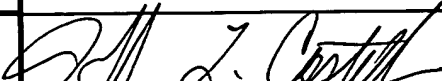
Registration No. 35,483

Signature

Date: November 10, 1999

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FEE TRANSMITTAL		Complete If Known					
<i>Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i>		Application Number					
		Filing Date		November 10, 1999			
		First Named Inventor		Shunpei YAMAZAKI et al.			
		Examiner Name		M. Whipple			
		Group Art Unit		2813			
TOTAL AMOUNT OF PAYMENT		\$1,138.00	Attorney Docket Number		0756-2064		
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)					
1. <input type="checkbox"/> [X] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No. 19-2380 Deposit Account Name: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, PC <input type="checkbox"/> [X] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> [] Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance 2. <input checked="" type="checkbox"/> [X] Payment Enclosed: <input checked="" type="checkbox"/> [X] Check <input type="checkbox"/> [] Money Order <input type="checkbox"/> [] Other		3. ADDITIONAL FEES					
		Large Entity		Small Entity			
		Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		105	130	205	65	Surcharge-late filing fee or oath	
		127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
		139	130	139	130	Non-English specification	
		147	2,520	147	2,520	For filing a request for reexamination	
		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Ext for reply within first month	
		116	380	216	190	Ext for reply within second mth	
		117	870	217	435	Ext for reply within third mth	
		118	1,360	218	680	Ext for reply within fourth mth	
		128	1,850	228	925	Ext for reply within fifth month	
		119	300	219	150	Notice of Appeal	
		120	300	220	150	Filing brief in support of appeal	
		121	260	221	130	Request for Oral Hearing	
		138	1,510	138	1,510	Petition to institute public use proceeding	
		140	110	240	55	Petition to revive-unavoidable	
		141	1,210	241	605	Petition to revive-unintentional	
		142	1,210	242	605	Utility issue fee (or reissue)	
		143	430	243	215	Design issue fee	
		144	580	244	290	Plant issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	50	123	50	Petitions related to provisional applications	
		126	240	126	240	Submission of IDS	
		581	40	581	40	Recording each patent assignment per property (times number of properties)	
		146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
		149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	
						Other _____	
						Other _____	
						*Reduced by Basic Filing Fee Paid	
						SUBTOTAL (3)	\$ _____
SUBTOTAL (1)		\$760.00					
SUBTOTAL (2)		\$378.00					
SUBTOTAL (3)		\$378.00					
SUBMITTED BY						Complete (if applicable)	
Typed or Printed Name		Jeffrey L. Costellia				Reg. Number	35,483
Signature				Date	November 10, 1999	Deposit Account User ID	19-2380

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